

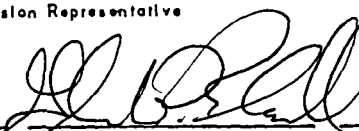
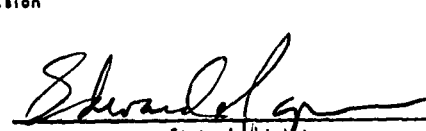
DEPARTMENT OF GENERAL SERVICES
Records Management Division
Supersedes Schedule 1154SCHEDULE
NO. 1394PAGE
NO. 1 of 1

RECORDS RETENTION AND DISPOSAL SCHEDULE

DHMH - Medical Care Compliance Administration

Div. of Utilization & Eligibility Review

AGENCY		DIVISION
Item No.	Description	Retention
1.	<p>This Makes Obsolete Schedule #1154 dated 1-6-88.</p> <p><u>Fraud Analysis Case Records</u></p> <p>This series contains records pertaining to investigations in the Medical Assistance and Pharmacy Assistance Programs which address fraud and/or misuse. Each individual file contains documentation of the adjudication of the allegations or complaints concerning potential fraud or misuse.</p>	Retain in office for one (1) year after closure and until all audit requirements have been fulfilled, then send to the State Records Center for four (4) years, then destroy.
2.	<p><u>Managed Care Records</u></p> <p>This series contains records of determination of misutilization of Medical and Pharmacy Assistance benefits by program recipients and of decisions made regarding enrolling recipients in the Corrective Managed Care Program. This series also contains records of voluntary enrollments in the Diabetes Care and Hospice Care Programs.</p>	Retain in office for one (1) year after closure and until all audit requirements have been fulfilled, then send to the State Records Center for four (4) years, then destroy.
3.	<p><u>Systems Performance Review Records</u></p> <p>This series contains Corrective Managed Care Records targeted for federal review. These records contain misutilization determination of Medical and Pharmacy Assistance benefits by program recipients and of decisions made regarding enrolling recipients in a managed care program.</p>	Retain in office for two (2) years and until all audit requirements have been fulfilled, then send to the State Records Center for two (2) years, then destroy.
4.	<p><u>General Files</u></p> <p>These files contain various categories of data:</p> <p>A. The general file contains various categories of data required for information purposes, preparation of statistics and budget formulation. It also includes general correspondence, reports, budgets, etc.</p> <p>B. This series also contains records on program development and policy formulation and records regarding the Quality Assurance Program, HIV Case Management, Child Abuse Liaison, Surveillance and Utilization Review Subsystem, Drug Utilization/Diversion Review and any other program specific file which may be created but not classifiable under #1-3.</p>	<p>A. Retain all material for three (3) years, then destroy.</p> <p>B. Retain permanently all records pertaining to program development and policy formulation. Transfer periodically to State archives.</p>

Schedule Approved by Department,
Agency, or Division RepresentativeSchedule Authorized by
Hall of Records Commission7/1/91  **Chief
DUEA**
Date Signature Title7/1/91 
Date State Archivist

Glenn W. Kendall

CHIEF, DIVISION OF UTILIZATION AND
ELIGIBILITY REVIEW

INSTRUCTIONS--TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 350-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 278 JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY	
1. DEPARTMENT/AGENCY Dept. of Health & Mental Hygiene		2. DIVISION Division of Utilization and Eligibility Review		3. UNIT Fraud Analysis	
DEFINITION-RECORD SERIES--A GROUP OF RELATED RECORDS NORMALLY FILED AND USED AS A UNIT FOR REFERENCE AS WELL AS RETENTION AND DISPOSITION PURPOSES					
4. RECORD SERIES TITLE Fraud Analysis Case Records				5. EARLIEST YEAR/LATEST YEAR <u>1986</u> TO <u>1991</u>	
6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES. INCLUDE THE PURPOSE OR FUNCTION OF THE SERIES) This series contains records pertaining to investigations in the Medical Assistance and Pharmacy Assistance Programs which address fraud and/or misuse. Each individual file contains documentation of the adjudication of the allegations or complaints concerning potential fraud or misuse.					
7. RECORD SERIES FORMAT(S) <input checked="" type="checkbox"/> LETTER SIZE <input type="checkbox"/> MICROFILM <input type="checkbox"/> LEGAL SIZE <input type="checkbox"/> COMPUTER TAPE <input type="checkbox"/> SOUND BOOK <input type="checkbox"/> FLOPPY DISK <input type="checkbox"/> AUDIO TAPE <input type="checkbox"/> VIDEO TAPE <input type="checkbox"/> OTHER(SPECIFY) _____		8. RECORD SERIES SEQUENCE <input type="checkbox"/> ALPHABETICAL <input checked="" type="checkbox"/> NUMERICAL <input type="checkbox"/> CHRONOLOGICAL <input type="checkbox"/> GEOGRAPHICAL <input type="checkbox"/> OTHER(SPECIFY) _____		9. VOLUME <input checked="" type="checkbox"/> FILE DRAWER(S) <input type="checkbox"/> MICROFILM REEL(S) <input type="checkbox"/> COMPUTER TAPE(S) <input type="checkbox"/> OTHER(SPECIFY) 10. ANNUAL ACCUMULATION <input checked="" type="checkbox"/> FILE DRAWER(S) <input type="checkbox"/> MICROFILM REEL(S) <input type="checkbox"/> COMPUTER TAPE(S) <input type="checkbox"/> OTHER(SPECIFY) _____	
11. FILE IS USED <input checked="" type="checkbox"/> DAILY <input type="checkbox"/> WEEKLY <input type="checkbox"/> MONTHLY			12. FILE BECOMES INACTIVE AFTER <u>1</u> MONTH(S) <input checked="" type="checkbox"/> YEAR(S)		
13. CURRENT LOCATION(S) (BLDG., FLOOR, ROOM) 201 W. Preston Street, Room 227A			14. IS RECORD SERIES DUPLICATED ELSEWHERE? (IF YES, SPECIFY AGENCY OR OFFICE) <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		
15. ACCESS RESTRICTIONS <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO (IF YES, CITE LAW(S) & REGULATION(S)).			16. AUDIT REQUIREMENTS <input type="checkbox"/> NONE <input checked="" type="checkbox"/> STATE <input type="checkbox"/> FEDERAL <input type="checkbox"/> INDEPENDENT		
17. IS AN INDEX SYSTEM USED? (IF YES, EXPLAIN BRIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE) <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO A card index file located in section and a casetracking system on the NBI word-processor are used.			18. RECOMMENDED RETENTION Retain in office for one (1) year after closure and until all audit requirements have been fulfilled, then send to State Records Center for four (4) years, then destroy.		
19. NAME AND TITLE OF PREPARER Patricia J. Mailhot Administrative Officer II		20. TELEPHONE NUMBER 225-1695		21. DATE 7/1/91	

INSTRUCTIONS--TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
7275 WATERLOO ROAD
P.O. BOX 275
JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

PAGE 2 OF 4

1. DEPARTMENT/AGENCY
I of Health & Mental Hygiene

2. DIVISION
Division of Utilization and
Eligibility Review

3. UNIT
MANAGED CARE

DEFINITION-RECORD SERIES--A GROUP OF RELATED RECORDS NORMALLY FILED AND USED AS A UNIT FOR REFERENCE AS WELL AS RETENTION AND DISPOSITION PURPOSES

4. RECORD SERIES TITLE
Managed Care Records

5. EARLIEST YEAR/LATEST YEAR
1988 TO 1991

6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES. INCLUDE THE PURPOSE OR FUNCTION OF THE SERIES)

This series contains records of determinations of misutilization of Medical and Pharmacy Assistance benefits by program recipients and of decisions made regarding enrolling recipients in the Corrective Managed Care Program. This series contains records of voluntary enrollments in the Diabetes Care and Hospice Care Programs.

7. RECORD SERIES FORMAT(S)

☒ LETTER SIZE ☐ MICROFILM
☐ LEGAL SIZE ☐ COMPUTER TAPE
☐ BOUND BOOK ☐ FLOPPY DISK
☐ AUDIO TAPE ☐ VIDEO TAPE
☐ OTHER(SPECIFY)

8. RECORD SERIES SEQUENCE

☐ ALPHABETICAL
☒ NUMERICAL
☐ CHRONOLOGICAL
☐ GEOGRAPHICAL
☐ OTHER(SPECIFY)

9. VOLUME

☒ FILE DRAWER(S)
☐ MICROFILM REEL(S)
105 ☐ COMPUTER TAPE(S)
NUMBER ☐ OTHER(SPECIFY)

10. ANNUAL ACCUMULATION

☒ FILE DRAWER(S)
☐ MICROFILM REEL(S)
10 ☐ COMPUTER TAPE(S)
NUMBER ☐ OTHER(SPECIFY)

11. FILE IS USED
☒ DAILY ☐ WEEKLY ☐ MONTHLY

12. FILE BECOMES INACTIVE AFTER
1 ☐ MONTH(S) ☒ YEAR(S)
NUMBER

13. CURRENT LOCATION(S) (BLDG., FLOOR, ROOM)
201 W. Preston Street, Room 299

14. IS RECORD SERIES DUPLICATED ELSEWHERE?
(IF YES, SPECIFY AGENCY OR OFFICE)
☐ YES ☒ NO

15. ACCESS RESTRICTIONS ☐ YES ☒ NO
(IF YES, CITE LAW(S) & REGULATION(S).)

16. AUDIT REQUIREMENTS
☐ NONE ☐ STATE ☒ FEDERAL ☐ INDEPENDENT

17. IS AN INDEX SYSTEM USED? (IF YES, EXPLAIN BRIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE)
☒ YES ☐ NO

IBM/PC
DBase III+

18. RECOMMENDED RETENTION
Retain in office for one (1) year after closure and until all requirements have been fulfilled, then send to the State Records Center for four (4) years, then destroy.

19. NAME AND TITLE OF PREPARER
Patricia J. Mailhot
Administrative Officer II

20. TELEPHONE NUMBER
225-1695

21. DATE

7/1/91

INSTRUCTIONS--TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 330-1)

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
7275 WATERLOO ROAD
P.O. BOX 278
JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

PAGE 3 OF 4

1. DEPARTMENT/AGENCY
Dept of Health & Mental Hygiene

2. DIVISION
Division of Utilization and
Eligibility Review

3. UNIT
Administration

DEFINITION-RECORD SERIES-A GROUP OF RELATED RECORDS NORMALLY FILED AND USED AS A UNIT FOR REFERENCE AS WELL AS RETENTION AND DISPOSITION PURPOSES

4. RECORD SERIES TITLE
Systems Performance Review Records

5. EARLIEST YEAR/LATEST YEAR
1988 TO 1991

6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES. INCLUDE THE PURPOSE OR FUNCTION OF THE SERIES)

This series contains Corrective Managed Care Records targeted for federal review. These records contain misutilization determinations of Medical and Pharmacy Assistance benefits by program recipients and of decisions made regarding enrolling recipients in a managed care program.

7. RECORD SERIES FORMAT(S)

☒ LETTER SIZE ☐ MICROFILM
☐ LEGAL SIZE ☐ COMPUTER TAPE
☐ SOUND BOOK ☐ FLOPPY DISK
☐ AUDIO TAPE ☐ VIDEO TAPE
☐ OTHER(SPECIFY)

8. RECORD SERIES SEQUENCE

☐ ALPHABETICAL
☒ NUMERICAL
☐ CHRONOLOGICAL
☐ GEOGRAPHICAL
☐ OTHER(SPECIFY)

9. VOLUME

☒ FILE DRAWER(S)
☐ MICROFILM REEL(S)
☐ COMPUTER TAPE(S)
☐ OTHER(SPECIFY)

10. ANNUAL ACCUMULATION

☒ FILE DRAWER(S)
☐ MICROFILM REEL(S)
☐ COMPUTER TAPE(S)
☐ OTHER(SPECIFY)

11. FILE IS USED
☐ DAILY ☐ WEEKLY ☒ MONTHLY

12. FILE BECOMES INACTIVE AFTER
2 MONTHS ☐ MONTH(S) ☐ YEAR(S)

13. CURRENT LOCATION(S) (BLDG., FLOOR, ROOM)
201 W. Preston Street
Room 299

14. IS RECORD SERIES DUPLICATED ELSEWHERE?
(IF YES, SPECIFY AGENCY OR OFFICE)
☐ YES ☒ NO

15. ACCESS RESTRICTIONS ☐ YES ☒ NO
(IF YES, CITE LAW(S) & REGULATION(S)).

16. AUDIT REQUIREMENTS
☐ NONE ☒ STATE ☒ FEDERAL ☐ INDEPENDENT

17. IS AN INDEX SYSTEM USED? (IF YES, EXPLAIN BRIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE)
☒ YES ☐ NO
IBM/PC, DBase III+

18. RECOMMENDED RETENTION
Retain in office for two (2) years and until all audit requirements have been fulfilled, then send to the State Records Center for two (2) years, then destroy.

19. NAME AND TITLE OF PREPARER
Patricia J. Mailhot
Administrative Officer II

20. TELEPHONE NUMBER
225-1695

21. DATE

7/1/91

INSTRUCTIONS--TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 330-1)

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
7275 WATERLOO ROAD
P.O. BOX 275
JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

PAGE 4 OF 4

1. DEPARTMENT/AGENCY
Dept. of Health & Mental Hygiene

2. DIVISION
Division of Utilization and
Eligibility Review

3. UNIT
Administration

DEFINITION-RECORD SERIES- A GROUP OF RELATED RECORDS NORMALLY FILED AND USED AS A UNIT FOR REFERENCE AS WELL AS RETENTION AND DISPOSITION PURPOSES

4. RECORD SERIES TITLE
General Files

5. EARLIEST YEAR/LATEST YEAR
1988 TO 1991

6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES. INCLUDE THE PURPOSE OR FUNCTION OF THE SERIES)

The general file contains various categories of data required for information purposes, preparation of statistics and budget formulation. It also includes general correspondence, reports, budgets, records on program development and policy formulation. This series also includes all records regarding the Quality Assurance Program, HIV Case Management, Child Abuse Liaison, Surveillance and Utilization Review Subsystem, Drug Utilization/ Diversion Review and any other program-specific file which may be created but not classifiable under #1-3.

7. RECORD SERIES FORMAT(S)

☒ LETTER SIZE ☐ MICROFILM
☐ LEGAL SIZE ☐ COMPUTER TAPE
☐ SOUND BOOK ☐ FLOPPY DISK
☐ AUDIO TAPE ☐ VIDEO TAPE
☐ OTHER(SPECIFY)

8. RECORD SERIES SEQUENCE

☒ ALPHABETICAL
☐ NUMERICAL
☐ CHRONOLOGICAL
☐ GEOGRAPHICAL
☐ OTHER(SPECIFY)

9. VOLUME

☒ FILE DRAWER(S)
☐ MICROFILM REEL(S)
10 ☐ COMPUTER TAPE(S)
NUMBER ☐ OTHER(SPECIFY)

10. ANNUAL ACCUMULATION

☒ FILE DRAWER(S)
2 ☐ MICROFILM REEL(S)
NUMBER ☐ COMPUTER TAPE(S)
☐ OTHER(SPECIFY)

11. FILE IS USED
☐ DAILY ☒ WEEKLY ☐ MONTHLY

12. FILE BECOMES INACTIVE AFTER
NUMBER ☐ MONTH(S) ☐ YEAR(S)

13. CURRENT LOCATION(S) (BLDG., FLOOR, ROOM)
201 W. Preston Street
Room 227B

14. IS RECORD SERIES DUPLICATED ELSEWHERE?
(IF YES, SPECIFY AGENCY OR OFFICE)
☐ YES ☒ NO

15. ACCESS RESTRICTIONS ☐ YES ☐ NO
(IF YES, CITE LAW(S) & REGULATION(S).)

16. AUDIT REQUIREMENTS
☐ NONE ☐ STATE ☐ FEDERAL ☐ INDEPENDENT

17. IS AN INDEX SYSTEM USED? (IF YES, EXPLAIN BRIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE)
☐ YES ☒ NO

18. RECOMMENDED RETENTION
Retain permanently all records pertaining to program development and policy formulation. Retain all other material for three (3) years, then destroy.

19. NAME AND TITLE OF PREPARER
Patricia J. Mailhot
Administrative Officer II

20. TELEPHONE NUMBER
225-1695

21. DATE

7/1/91